

Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533) (Large Entity)

Docket No.  
225-010254-US(PAR)

In Re Application Of: WATANABE et al.

Serial No.  
09/819,370

Filing Date  
3/28/2001

Examiner

Group Art Unit

Invention:

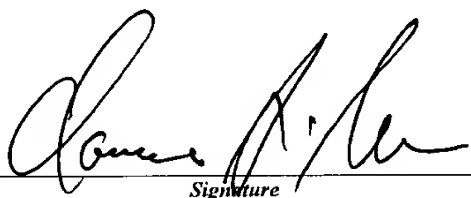
**RIDGE TYPE SEMICONDUCTOR LASER OF DISTRIBUTED FEEDBACK**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

The fee of \$130.00 is to be paid as follows:

- ☒ A check in the amount of the fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account No. 16-1350  
A duplicate copy of this sheet is enclosed.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 16-1350  
A duplicate copy of this sheet is enclosed.

  
Signature

Dated:

11 June 01

Clarence A. Green, Reg. No. 24,622  
203-259-1800

Customer No. 2512

CC:

I certify that this document and fee is being deposited on  
11 June 2001 with the U.S. Postal Service as first  
class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.



Signature of Person Mailing Correspondence

DEBORAH J. CLARK

Typed or Printed Name of Person Mailing Correspondence

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Group Art Unit

Invention:

**RIDGE TYPE SEMICONDUCTOR LASER OF DISTRIBUTED FEEDBACK**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

This is a response to the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533) mailed on  
5/07/2001  
Date

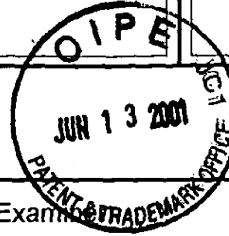
Enclosed herewith for filing are the following:

- ☒ A copy of the Notice to File Missing Parts of Application - Filing Date Granted (PTO-1533). **(REQUIRED)**
- ☒ An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date.
- ☐ A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date.
- ☐ An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date.
- ☐ A verified English translation of the non-English language application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the United States Patent and Trademark Office.
- ☐ Other (list):

**Response To Notice To File Missing Parts Of Application  
Filing Date Granted (PTO-1533)(Large Entity)**

Docket No.  
225-010254-US(PAR)

In Re Application Of: WATANABE et al.



Serial No.  
09/819,370

Filing Date  
3/28/2001

Examined

Group Art Unit

Invention:

**RIDGE TYPE SEMICONDUCTOR LASER OF DISTRIBUTED FEEDBACK**

TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Box Missing Parts

☒ Completion of application fees as calculated below:

☐ Utility application filing fee

☐ Design application filing fee

☐ Total number of independent claims = \_\_\_\_\_

☐ Total number of claims = \_\_\_\_\_

☐ Multiple dependent claims

☒ Surcharge for late payment of filing fee and/or late filing of original declaration or oath **\$130.00**

☐ Petition and fee for filing by other than all the inventors or a person not the inventor

☐ Fee for processing an application filed with a non-English language specification

☐ Fee for processing and retention of application

Total completion of application fees **\$130.00**

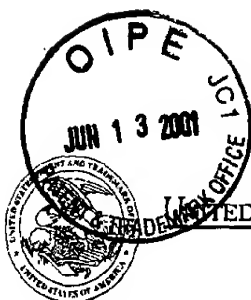
This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the above-identified Notice to File Missing Parts of Application. The requested extension is as follows (check time period desired). If an additional time extension is required, please consider this a petition therefor.

☐ One month    ☐ Two months    ☐ Three months    ☐ Four months    ☐ Five months

from: \_\_\_\_\_ until: \_\_\_\_\_  
Date Date

Total time extension fees \_\_\_\_\_

Total fees due **\$130.00**



#3

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/819,370	03/28/2001	Yoshiaki Watanabe	225-010254-US(PAR)

CONFIRMATION NO. 4335

2512  
PERMAN & GREEN  
425 POST ROAD  
FAIRFIELD, CT 06430

FORMALITIES LETTER



\*OC000000006049090\*

Date Mailed: 05/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/14/2001 ETULU1 00000121 09819370

01 FC:105

130.00 OP



Practitioner's Docket No.: 225-010254-US(PAR)

PATENT

Receipt  
#6  
6.24.02  
Molish

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: WATANABE et al.

Serial No.: 09/819,370

Filed: 3/28/01

For: RIDGE TYPE SEMICONDUCTOR LASER OF DISTRIBUTED FEEDBACK

Group No.: 2881

Examiner:

Assistant Commissioner for Patents  
Washington, D.C. 20231

REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.

2. There is an error with respect to the following data, which is:

☐ Incorrectly entered

and/or

X Omitted.

Error in

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☐ Title
4. ☐ Filing Date
5. ☐ Serial Number
6. X Foreign PCT Re:
7. ☐ Other

Correct data

- 1.
- 2.
- 3.
- 4.
- 5.
6. see page 2
- 7.

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JUN 17 2002

Technology Center 2100

RECEIVED  
AUG 21 2002  
JUN 19 2002  
TECHNOLOGY CENTER MAIL ROOM

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Date: 6/11/01

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office

*Deborah J. Clark*  
Signature

DEBORAH J. CLARK

(type or print name of person certifying)  
(Request for Corrected Filing Receipt [5-8]-)

X The Foreign Applications Information was omitted. The correct information is as follows:

**JAPAN – 2000-91734 filed 29 March 2000**

3. *(complete the following applicable item)*


A. X The correction(s) is/are not due to any error by applicant and no fee is due.

**OR**

B. ☐ At least one of the above corrections is due to applicant's error and the fee therefor, under 37 C.F.R. 1.19(h), of \$25.00 is paid as follows:

☐ Enclosed is check for \$25.00

☐ Charge Account \_\_\_\_\_ \$25.00

  
\_\_\_\_\_  
Signature of Practitioner

Reg. No.: 24,622

Tel. No.: (203) 259-1800

Customer No.: 2512

Clarence A. Green

*(type or print name of practitioner)*

PERMAN & GREEN, LLP

425 Post Road

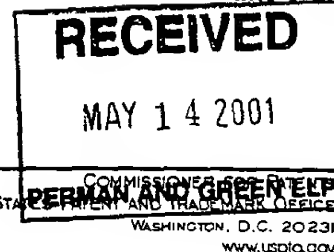
P.O. Address

Fairfield, CT 06430

*(Request for Corrected Filing Receipt [5-8]-page 2 of 2)*



## UNITED STATES PATENT AND TRADEMARK OFFICE



APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/819,370	03/28/2001	2881	710	225-010254- US(PAR)	7	7	1

2512  
PERMAN & GREEN  
425 POST ROAD  
FAIRFIELD, CT 06430

CONFIRMATION NO. 4335

## FILING RECEIPT



\*OC00000006049089\*

Date Mailed: 05/07/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Yoshiaki Watanabe, Residence Not Provided;  
Nong Chen, Residence Not Provided;  
Kiyoshi Takei, Residence Not Provided;  
Kiyofumi Chikuma, Residence Not Provided;

## Domestic Priority data as claimed by applicant

## Foreign Applications

*Japan - 2000-91734 filed 29 March 2000*

If Required, Foreign Filing License Granted 05/07/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Ridge type semiconductor laser of distributed feedback

## Preliminary Class

RECEIVED  
JUN 19 2002  
TC 2800 MAIL ROOM

RECEIVED  
AUG 21 2001  
TECHNOLOGY CENTER R3700

Data entry by : LEE, KATY

Team : OIPE

Date: 05/07/2001







**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

RECEIVED  
 JUN 19 2002  
 TC 2800 MAIL ROOM

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231